



# Example of Compliance Head Job Description

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Our innovative and growing company is searching for experienced candidates for the position of compliance head. To join our growing team, please review the list of responsibilities and qualifications.

## Responsibilities for compliance head

- It is critical to develop and implement a risk-based compliance management plans, and compliance guidelines operational risk
- Continuously focusing on and following up the latest development of laws, regulations and rules, ensure compliance with the law, regulations and rules correctly, understanding the impacts of the laws, regulations and rules to the operation of the Bank, providing compliance suggestions to the senior management in a timely manner
- Promote and implementing compliance management plans based on risks, including implementation and evaluation of certain policies and procedures, evaluation of compliance risks, test for compliance and training and education of compliance
- Reviewing the compliance of Bank's various policies, procedures and guidelines, assisting and urging each business line and internal control department to systemize and amend such policies, procedures and guidelines, ensuring the said policies are in accordance with the requirements of laws, regulations and rules
- Managing the framework around anti-money laundering and combating financing of terrorism by conducting KYC check on new customers, regular review of customers files and monitor transactions on a daily basis
- Delivering compliance training to employees, including the compliance training and compliance test for employees newly joined the Bank, and the routine compliance training for all the employees, and becoming the internal contact department for compliance consultation of the Bank's employees

new products and new business developments, identifying and evaluating the compliance risks which may occur from development of the new business, establishment of the relationship with new clients and significant changes of the nature of the relationship with clients

- Maintaining the daily work contact with the supervisory authorities
- Serve as Chief Compliance Officer for the company in Canada
- Participate in client and prospective client due diligence meetings

### Qualifications for compliance head

- Graduate degree required, MBA or JD preferred
- 10 years' experience in Compliance and/or financial services industry
- Ability to work with cross-functional teams across the firm and to interact with senior management and regulators directly
- Demonstrated strategic leadership ability
- Ideally, you will have at least 8-10 years experience in Banking/Finance sector and 5 years experience in Compliance related area
- You will have sound knowledge and understanding of the local regulatory framework